

NEW JERSEY BUREAU OF SECURITIES

153 Halsey Street, 6<sup>th</sup> Floor

Newark, NJ 07102

Telephone (973) 504-3600

FAX (973) 504-3624

INFORMATION REQUEST FORM FOR CENTRAL REGISTRATION DEPOSITORY  
("CRD") INFORMATION

INSTRUCTIONS: This form should be completed by an individual requesting a Firm Snapshot (information pertaining to broker-dealers), an Individual Snapshot (information pertaining to agents of broker-dealers), or an IA-Firm Snapshot (information pertaining to investment advisory firms). Both sides of the form should be read and completed before signing and submitting.

1. Requestor:

Name: \_\_\_\_\_

Address: \_\_\_\_\_

Telephone number: \_\_\_\_\_

Reason for request: \_\_\_\_\_

2. Full name of individual concerning whom you wish information:

\_\_\_\_\_

Firm affiliation: \_\_\_\_\_

Other identifying information (i.e. CRD#, SS#): \_\_\_\_\_

3. Full name of broker-dealer concerning which you wish information:

\_\_\_\_\_

Address: \_\_\_\_\_

4. Full name of investment advisory firm concerning which you wish information:

\_\_\_\_\_

Address: \_\_\_\_\_

**IF ADDITIONAL SPACE IS REQUIRED PLEASE ATTACH A RIDER.**

5. The Bureau of Securities reserves the right to charge for copies of documents in excess of 20 pages at the rate of \$.25 per page.
6. The Bureau of Securities cannot guarantee the accuracy or completeness of the information furnished in reply to your request. Undisclosed information may exist in other jurisdictions or with self-regulatory bodies. The Bureau of Securities is not responsible for information obtained from other sources.
7. The Bureau of Securities has not passed upon the merits or qualifications of, or recommended or given approval to, any person, security, or transaction. The fact that a person or security has been registered does not constitute a finding by the Bureau of Securities that any document filed is true, complete, or not misleading.
8. If you wish to request any additional documentation, you may submit a request pursuant to the Right to Know Law, N.J.S.A. sec. 47:1A-1 et seq. ("OPRA"). For information concerning an OPRA request for Bureau of Securities records, you must contact Consumer Affairs at (973) 424-8111 or <http://www.nj.gov/lps/opra>.

**I HAVE READ AND UNDERSTAND THE ABOVE STATEMENT WITH REGARD TO THE FURNISHING BY THE BUREAU OF SECURITIES OF THE INFORMATION REQUESTED. PLEASE SEND ME THE DOCUMENTS AND/OR INFORMATION REQUESTED ABOVE.**

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Signature

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Date